



COPY

PATENT
Attorney Docket No.
42053-00006USPT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Gunsel, et al.

Filed: March 24, 2000

Serial Number: 09/534,282

For: Lubricant for Magnetic Recording
Medium and Use Thereof

§
§
§
§
§
§
§

Art Unit: 1773

Examiner: K. Bernatz

Box AF
Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

EXPRESS MAIL CERTIFICATE UNDER 37 C.F.R. §1.10
EXPRESS MAIL Mailing Label No.: FL 663 620 850 US
Date of Deposit: 09/04/02

I hereby certify that this paper, including the documents referred to therein, or fee, is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to Box AF, Commissioner for Patents, Arlington, VA, 22202.

Type or Print Name: Jimmy Patterson

Signature: [Signature]

TRANSMITTAL LETTER

Transmitted herewith in the above-identified application are:

- 1) Reply to Office Action mailed July 26, 2002, with appendices A and B;
- 2) Postcard; and
- 3) Certificate of Mailing by Express Mail.

No fee is required. Calculations shown below.

| FOR | NUMBER FILED - PAID | NUMBER EXTRA | RATE | CALCULATIONS |
|---|---------------------|--------------|--------------|----------------|
| TOTAL Claims | 20 -46 =-26 | 0 | x \$ 18.00 = | \$0.00 |
| INDEPENDENT Claims | 5 -7 =-2 | 0 | x \$ 84.00 = | \$0.00 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | N/A | x \$280.00 = | \$0.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$0.00 |
| REDUCTION BY 2 FOR FILING BY SMALL ENTITY (Note 37 C.F.R. 1.9, 1.27, 1.28). IF APPLICABLE, VERIFIED STATEMENT MUST BE ATTACHED. | | | | \$0.00 |
| | | | | Total = \$0.00 |

STATUS CHECK

Due 10/4/02

By [Signature] On 9/1/02

Ksp to provide fee

The Assistant Commissioner is hereby authorized to charge any additional fees required for this submission to Deposit Account 10-0447, reference 42053-00006USPT (BAI).

Respectfully submitted,

JENKENS & GILCHRIST
A Professional Corporation

J. Benjamin Bai
J. Benjamin Bai
Reg. No. 43,481

Date: 9/4/2002
Jenkins & Gilchrist
A Professional Corporation
1100 Louisiana, Ste. 1800
Houston, Texas 77002
Phone: (713) 951-3387
Fax: (713) 951-3314



Attorney Docket
No. 40253.00006USPT

CERTIFICATE OF MAILING BY EXPRESS MAIL

I, Jimmy Patterson, do hereby certify that the foregoing documents are being deposited with the United States Postal Service as Express Mail Post Office to Addressee Service, postage prepaid, prior to the last scheduled pickup, in an envelope addressed to Commissioner for Patents, P. O. Box 2327, Arlington, VA 22202, on this date of 10/16/02.

Jimmy Patterson
Name

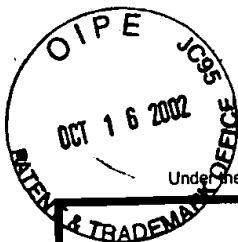
[Signature]
Signature

ET 205554055 US

Express Mail Label Number

10/16/02
Date of Deposit

RECEIVED
OCT 22 2002
TC 1700 MAIL ROOM



10-18-02

RCE/1700

PTO/SB/30 (08-00)
Approved for use through 10/31/02. OMB 0651-0034
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

REQUEST FOR CONTINUED EXAMINATION (RCE) TRANSMITTAL

Subsection (b) of 35 U.S.C. § 132, effective on May 29, 2000,
provides for continued examination of a utility or plant application
filed on or after June 8, 1995.
See The American Inventors Protection Act of 1999 (AIPA).

| | |
|------------------------|------------------|
| Application Number | 09/534,282 |
| Filing Date | March 24, 2000 |
| First Named Inventor | Gunsel #17/32/02 |
| Group Art Unit | 1773 |
| Examiner Name | K. Bernatz |
| Attorney Docket Number | 42053.00006USPT |

This is a request for Continued Examination (RCE) under 37 C.F.R. § 1.114 of the above-identified application.

NOTE: 37 C.F.R. § 1.114 is effective on May 29, 2000. If the above identified application was filed prior to May 29, 2000, applicant may wish to consider filing a continued prosecution application (CPA) under 37 C.F.R. § 1.53 (d) (PTO/SB/29) instead of a RCE to be eligible for the patent term adjustment provisions of the AIPA. See Changes to Application Examination and Provisional Application Practice, Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office 47 (Apr. 11, 2000), which established RCE practice.

1. Submission required under 37 C.F.R. §

- a. ☒ Previously submitted
- i. ☒ Consider the amendment(s)/reply under 37 C.F.R. § 1.116 previously filed on 9/4/02 (copy provided herewith)
(Any unentered amendment(s) referred to above will be entered).
- ii. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on
- iii. ☐ Other
- b. ☒ Enclosed
- i. ☐ Amendment/Reply
- ii. ☐ Affidavit(s)/Declaration(s)
- iii. ☐ Information Disclosure Statement (IDS)
- iv. ☒ Other Supplemental Response.

10/21/2002 DABRAHA1 00000153 09534282

01 FC:1801

740.00 OP

2. Miscellaneous

- a. ☐ Suspension of action on the above-identified application is requested under 37 C.F.R. § 1.103(c) for a period of _____ months. (Period of suspension shall not exceed 3 months; Fee under 37 C.F.R. § 1.17(i) required)
- b. ☐ Other

3. Fees

The RCE fee under 37 C.F.R. § 1.17(e) is required by 37 C.F.R. § 1.114 when the RCE is filed.

- a. ☒ The Director is hereby authorized to charge the following fees, or credit any overpayments, to Deposit Account No. 10-0447 (42053.00006USPT (BAI))
- i. ☐ RCE fee required under 37 C.F.R. § 1.17(e)
- ii. ☐ Extension of time fee (37 C.F.R. §§ 1.136 and 1.17)
- iii. ☒ Other deficiency of the fees only.
- b. ☒ Check in the amount of \$ 740.00 enclosed
- c. ☐ Payment by credit card (Form PTO-2038 enclosed)

10/21/2002 DABRAHA1 00000064 09534282

01 FC:1006

740.00 OP

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

| | | | |
|-------------------|-----------------------------------|-----------------------------------|----------|
| Name (Print/Type) | J. Benjamin Bai #46,991 | Registration No. (Attorney/Agent) | 43,481 |
| Signature | <i>C.M. Pickens w/ permission</i> | Date | 10/16/02 |

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this paper, including the documents referred to therein, or fee is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Box RCE, Washington, D.C. 20231

| | | | |
|-------------------|------------------------|------|----------|
| Name (Print/Type) | Jimmy Patterson | Date | 10/16/02 |
| Signature | <i>Jimmy Patterson</i> | | |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND Fees and Completed Forms to the following address: Commissioner for Patents, Box RCE, Washington, DC 20231.



PATENT
DOCKET NO.: 42053.6USPT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Gunsel, et al. §
Serial No.: 09/534,282 §
Filed: March 24, 2000 §
Title: Lubricant for Magnetic Recording §
Medium and Use Thereof §

Examiner: K. Bernatz
Art Unit: 1773

Box RCE
Commissioner for Patents
P.O. Box 2327
Arlington, VA 22202

Dear Sir:

| | |
|---|------------------------|
| "EXPRESS MAIL" CERTIFICATE UNDER 37 C.F.R. §1.10 | |
| "EXPRESS MAIL" Mailing Label No.: | ET 205554055US |
| Date of Deposit: | 10/16/02 |
| I hereby certify that this paper, including the documents referred to therein, or fee, is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Box RCE, Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202. | |
| Type or Print Name | Jimmy Patterson |
| Signature: | <i>[Signature]</i> |

SUPPLEMENTAL RESPONSE TO THE ADVISORY ACTION MAILED
SEPTEMBER 13, 2002

In response to the Advisory Action mailed September 13, 2002, the Applicants respectfully respond with a Request for Continued Examination 37 C.F.R. § 1.114. The three month deadline expires on October 26, 2002. The requisite fee for the request is enclosed herewith.

REMARKS

This supplemental response is being submitted to address the Examiner's Advisory Action with regards to the response and amendments filed on September 4, 2002. A copy of the September 4, 2002 response is being submitted again for consideration along with this supplemental response.

The Examiner states that the proposed amendments were not entered because they raise new issues that require further consideration and/or search; they raise issues of new matter; and they do not place the application in better form for appeal. The Applicants are filing a Request for Continued Examination so that the amended claims may be considered and searched. The